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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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**COPY OF PAPERS  
ORIGINALLY FILED**

Applicant: John F. Engelhardt et al.

Title: ADENO-ASSOCIATED VIRUS VECTORS

Docket No.: 875.007US2

Filed: January 22, 2002

Examiner:

Serial No.: 10/054,665

Due Date: June 10, 2002

Group Art Unit: 1636

Attn: Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

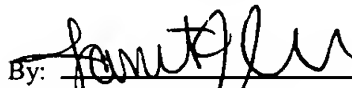
We are transmitting herewith the attached:

- ☒ A return postcard.
- ☒ A check in the amount of \$65.00 to cover the small entity surcharge.
- ☒ A check in the amount of \$918.00 to cover the Basic Filing Fee and Additional Claims Fee.
- ☒ Communication Re: Missing Parts (1 pg.)
- ☒ Notice to File Missing Parts (2 pg.)
- ☒ Communication Re: Corrected Application Papers (1 pg.)
- ☒ Sequence Listing (5 pgs.)
- ☒ Preliminary amendment (5 pgs.)

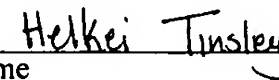
**Applicant claims small entity status under 37 C.F.R. 1.27.**

If not provided for in a separate paper filed herewith, please consider this a PETITION FOR EXTENSION OF TIME for sufficient number of months to enter these papers and please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

By:   
Name: Janet E. Embretson  
Reg. No. 39,665  
JEE:CMG:hst

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Attn: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231, on this 10 day of June, 2002.

  
Name

  
Signature



S/N 10/054,665

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COMMUNICATION RE: MISSING PARTS

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

In response to the "Notice to File Missing Parts" (see enclosed copy), we submit a check in the amount of \$65.00 to cover the small entity surcharge and a check in the amount of \$918.00 to cover the small entity basic filing fee and additional claims fee.

Applicants assume the application is now in proper order and in condition for examination. Please direct any inquiries to the undersigned attorney at (612) 373-6959.

If necessary, please charge any additional fees or credit overpayment to Deposit Account No. 19-0743.

Respectfully submitted,

JOHN F. ENGELHARDT ET AL.

By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402  
(612) 373-6959

Date

June 10, 2002

By

Janet E. Embretson  
Reg. No. 39,665  
JEE:CMG:hst

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Attn: Box Missing Parts, Commissioner for Patents, Washington, D.C. 20231, on this 10 day of June, 2002.

Name

Helkei Tinsley

Signature

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PATENT



S/N 10/054,665

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: John F. Engelhardt et al.

Examiner:

Serial No.: 10/054,665

Group Art Unit: 1636

Filed: January 22, 2002

Docket: 875.007US2

Title: ADENO-ASSOCIATED VIRUS VECTORS

**COMMUNICATION RE: CORRECTED APPLICATION PAPERS**

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

In response to the "Notice to File Missing Parts" which indicated "Corrected Papers", enclosed please find a paper copy of the SEQUENCE LISTING. On even date herewith, a disk copy of the sequence listing was mailed to Box Sequence, P.O. Box 2327, U.S. Patent and Trademark Office, Arlington, VA, 22202.

Applicants assume the application is now in proper order and in condition for examination. Please direct any inquiries to the undersigned attorney at (612) 373-6959.

If necessary, please charge any additional fees or credit overpayment to Deposit Account No. 19-0743.

Respectfully submitted,

JOHN F. ENGELHARDT ET AL.

By their Representatives,

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402  
(612) 373-6959

Date

June 10, 2002

By

Janet E. Embretson

Reg. No. 39,665

JEE:CMG:hst



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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

10/054,665

01/22/2002

John F. Engelhardt

875.007US2

CONFIRMATION NO. 4004

FORMALITIES LETTER



\*OC000000007835466\*

Date Mailed: 04/10/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

Adjustment date: 06/24/2002 BNGUYEN1  
06/18/2002 JBALINAN 00000018 190743 10054665  
01 FC:201 370.00 CR  
02 FC:202 84.00 CR  
03 FC:203 324.00 CR  
04 FC:204 140.00 CR  
05 FC:205 65.00 CR

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$548.
  - \$324 for 36 total claims over 20.
  - \$84 for 2 independent claims over 3 .
  - \$140 for multiple dependent claim surcharge.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 983.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

06/24/2002 BNGUYEN1 00000103 10054665

01 FC:205	65.00 OP
02 FC:201	370.00 OP
03 FC:203	324.00 OP
04 FC:202	84.00 OP
05 FC:204	140.00 OP

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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*A copy of this notice **MUST** be returned with the reply.*

  
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Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY